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TO: Program Directors
Field Office Managers and Supervisors
Fiscal Agents

FROM: Elizabeth Bedwell, Deputy Commissioner
Field Operations

DATE: January 6, 2004

SUBJECT: DWD Policy 2003 -21
Operating Instructions for the Claimant Profiling and Reemployment Services Initiative

Purpose:

To provide instructions for operation of the Claimant Profiling and Reemployment Services system.

Rescissions:

E95D-8019

Content:

I. Background:

The Unemployment Compensation Amendments of 1993 (Public Law 103-152) added two sections to the Social Security Act: 303 (a) (10) and 303 (j). The text of both sections is included for your information as: **attachment "A"**.

Under section 303 (j) (1), the State Agency must:

- Identify which claimants will be likely to exhaust regular UI and will need job search assistance services to make a successful transition to new employment. (Subparagraph (A) of Section 303 (j) (1), SSA.)

- Refer the claimants so identified to Reemployment Services, such as job search assistance services, available under any State or Federal law. (Subparagraph (B) of Section 303 (j) (1), SSA.
- Collect follow-up information relating to the services received by such claimants and their employment outcomes and use the information for future profiling. (Subparagraph (C) of Section 303 (j) (1), SSA.)
- Meet "such other requirements as the Secretary of Labor determines are appropriate." (Subparagraph (D) of Section 303 (j) (1), SSA.)

In addition, Section 303 (a) (10), SSA, requires claimants to participate in Reemployment Services to which they have been referred as a condition of UI eligibility.

One of the principal aims of the profiling system is to provide Reemployment Services to certain claimants through an "early intervention" process. That is, claimants who are unlikely to return to their previous jobs or occupations will be identified and given assistance early in their claim series. This approach is expected to facilitate an early return to employment and savings to each State's unemployment insurance trust fund.

II. Profiling Information/Activity

Claimants remaining after these three variables are applied will be passed through a statistical model using the following variables:

- Education: Educational level is closely associated with reemployment difficulty. Generally, claimants with less education are more likely to exhaust benefits.
- Job Tenure: This is a measure of a claimant's attachment to a specific employer. Studies show that the longer a worker's specific job attachment, the more difficult it is to find equivalent employment elsewhere.
- Maximum Benefit Amount: The Maximum Benefit Amount is the total amount of money available in an Unemployment Insurance claim for the claimant to draw in weekly benefits. Lower Maximum Benefit Amounts are associated with a likelihood to exhaust benefits.
- Occupation: Workers in low demand occupations experience greater reemployment difficulty than workers in occupations with higher demand.
- Unemployment Rate: Dislocation and reemployment difficulty are closely related to economic conditions, as measured by unemployment rates. In areas with high unemployment, unemployed workers will have greater difficulty becoming reemployed than those workers in areas with low unemployment, even if all other conditions are

equal. Unemployment rates in the county of residence of the claimant will be used in the model.

Entry Required to Profile Claimants

This is the only additional claim activity required to "Profile" a claimant. When assigning DOT Occupational Categories, use that for the most recent employment. If a three-digit DOT code is not available, assign Occupational Categories as follows: **(NAICS changes pending)**

- 0 - 1 Professional, technical and managerial
- 2 Clerical and sales
- 3 Service occupations
- 4 Agricultural, fishery, forestry and related
- 5 Processing
- 6 Machine trades
- 7 Benchwork
- 8 Structural work
- 9 Transportation, material handling, and miscellaneous

After selecting the first digit of the DOT code above, use two zeros (00) to complete the three-digit code. (Example: "Office" would be 200). NEW SCREEN PRINT

A site for Reemployment Services must be selected for each claimant. Claimants must receive Reemployment Services in the Workforce Service Area (WSA) in which they reside. For those claimants who reside in the WSA in which they are filing their claim and wish to receive Reemployment Services at the claim holding office, this is automatic (a table of automatic defaults is included as **attachment "C"**).

When a "First Payment" is made on the claim of a profiled individual, the statistical model will formulate a score and rank the individual on a list that will be printed out in the appropriate local office each Monday morning. This list will be the source from which the local reemployment service provider will select the individual. The number selected each week will depend on the capacity and annual goals established by the local service provider.

III. Employment and Training Information/Activity

Unless specified below, Reemployment Services will be provided as specified in each WSA's accepted Claimant Profiling and Reemployment Services Plan.

Selection

Claimants must be selected in the order ranked on the list.

Within five working days of lists being printed, selected claimants will be notified by mail, using the Selection Notification form developed by DWD (sample included as **attachment “E”**). This is a Microsoft Word document and will be distributed to offices providing Reemployment services.

The notice must be printed on WorkOne stationery and mailed in a WorkOne envelope. The notification will inform the claimant of the availability of services to assist in finding new employment. It will also include date, time, and location to report for Orientation. Postage for mailing of selection notices will be charged to UI code: 0220

Reemployment Services

Reemployment Services will be scheduled to begin no later than ten working days of the selection notice being sent. Services provided to each profiled, selected claimant will include:

- Orientation.
- Assessment.
- Service Plan preparation.
- Provision of Labor Market Information.
- Referral to Self-Directed Job Search.

Based on the assessment results and employment needs of the claimant expressed during preparation of the Service Plan, additional services may be made available to each profiled, selected claimant including:

- Job Search Workshop.
- Job Search Assistance.
- Employment Counseling.
- Referral to Additional Services.

The Assessment and Service Plan will identify additional services to be provided. This sequence ensures that the package of services each claimant receives is customized to meet his/her unique needs. Beyond this standard complement, additional services may be available by location. The minimum content of the standard reemployment services is described below.

Orientation

Selected claimants will participate in a mandatory individual, or group orientation for reemployment services. The orientation will consist, at a minimum, of providing the participants with information about the assessment and Service Plan preparation process and available Reemployment Services. The participants will also be informed of their rights and responsibility to participate, and the affect of non-participation on their eligibility to draw UI benefits.

Assessment

An assessment will be completed for each profiled, selected claimant to determine appropriate reemployment services or additional assessment. The assessment will, at a minimum, include:

- A determination, via interview, of job interests, job seeking skills, awareness of Labor Market conditions, and job search progress to date.
- An evaluation of marketable skills, education, and other employment related factors through examining the employment application and/or scores on profiling factors.

Service Plan

A Service Plan will be prepared for each claimant based on the assessment. The claimant and staff person will discuss and agree on the Reemployment Services prior to preparation of the Service Plan. Preparation of the Service Plan will include a discussion between the claimant and the staff person. This discussion will include the claimant's interests and needs and the results of the assessment. Based on this discussion, the staff person will recommend additional reemployment services, if appropriate, and list them on the Service Plan.

If the claimant does not wish to participate in some or all of the recommended services, it will be noted on the form and initialed by the claimant. Claimants will only be required to participate in Orientation, Assessment and Service Plan preparation plus those additional Reemployment Services to which they agree. However, if a claimant indicates s/he is not interested in employment and is not following a course of action to become reemployed, report this information to the claim holding office.

The Service Plan will be signed and dated by the claimant and the staff person. One copy will be given to the claimant, one to the claim holding UI office and the original retained by the office preparing the Service Plan.

A standard Service Plan form is attached(**attachment "F"**). A supply of three-part Service Plan Forms will be distributed when printed.

Entering UI Profiling Clients into the Participant Management Information Systems (PMIS) Data Entry System as EDWAA Eligible

Profiled, selected claimants are automatically eligible for EDWAA with no further determination of eligibility needed. This does not mean that the claimant is automatically considered a disabled

worker. Selective Service Registration and citizenship are the only additional information that needs to be verified. Basic Skill level testing is not required.

The UI profiled clients served with Governor's Reserve funds will need to be entered into the MAPPER PMIS data entry system. This system can be accessed by using "MISEDW". The grant number for profiling is "4" and then your WSA identifying number. Example: WSA "01" grant number will be 401. The program code is "3G". All UI profiling clients are eligible based on Dislocated Worker criteria "1" question #57 on the PMIS -1 form. Proper documentation of the client's eligibility should be placed in the clients file. This documentation consists of either the UI profiling client's list (highlight client's name) or a copy of the letter sent to the client.

IV. Feedback /UI Continuing Eligibility

CS3 and the UI Benefit System currently pass information to identify claim status and indicate whether or not claimants are registered for work. As part of the Automated 103 project, the interface was expanded to indicate when a claimant:

- Refuses to accept a referral to full-time employment.
- Refuses to accept an employer's offer of employment.
- Refuses to accept a referral to employment-related services.
- Fails to report to work.
- Becomes employed.
- Enrolls in training or training program.

To accommodate the Profiling System the following activities were added to the interface:

- Selection of claimant for Reemployment Services.
- Enrollment in Reemployment Services.
- Reemployment Services provided.
- Claimant participation or non-participation in Reemployment Services.

The activity will be entered into the CS3 no later than the last working day of the week in which the activity occurs. The system will feed information to the claims section and the activity will be stored in the profiling data base. A daily run will produce a list of potential cases resulting from profiling activity. This list will be printed in the claim holding office. The claims section will immediately enter any actual "Failed to Participate" issues into the Automated Benefit System under the issue "PF" and a determination be issued following fact finding on the "PF" issue.

An active application in is required to enter feedback information. If the application of a selected claimant is inactive it should be renewed to record selection and other feedback information.

UI Continuing Eligibility Issues

640 IAC 1-9-22 Effort To Secure Full-Time Work By Claimant (Regulation 826) provides a detailed definition of the work search. Under (b) (7) of the statute, the statement "Any other action which the department finds to constitute an effective means of securing full-time work suitable to the claimant," will support the profiling initiative. Until amending legislation is enacted, the above referenced regulation will be used as a legal reference for any denial of benefits for failure to meet the reporting requirements provided in the instructions.

Any claimant who chooses to enter the profiling activity even though he/she was not selected is treated in the same manner as an individual who was selected according to the statistical model. All requirements of the profiling initiative are mandatory.

Any other issues that arise from the profiling activity, for example able and available, refusal of referral to suitable work, refused suitable work, etc., will be adjudicated under current statutes and in accordance with established policy.

Claimants are required to report to and complete their scheduled Reemployment Services unless they are explicitly excused by the Employment and Training staff for good cause.

Good cause may include:

- a. The claimant has a start date for a new job.
- b. The claimant and the former employer agree that the claimant will return to work at the previous job even if there is not yet a specific return to work date.
- c. The claimant has attended a job search workshop within the past six months and the workshop included the core elements of the Reemployment Service workshop. The claimant must provide proof of his/her participation in the previous workshop and its course content.
- d. The claimant has a necessitous and compelling reason for missing the workshop, including but not limited to one of the following circumstances:
 - (1) Personal illness.
 - (2) Emergency health arrangements for family members.
 - (3) A natural occurrence, e.g. flooding, snow storm, tornado, etc., which prevents the individual from working a work day.
 - (4) Lateness for attendance caused by unforeseen and unusual circumstances, e.g. car trouble, traffic congestion, loss of usual method of transportation.
 - (5) Death of an immediate family member.

In these cases, the claimant should be rescheduled for the next available workshop.

The E&T staff will exercise reasonable discretion in responding to requests from claimants to reschedule their participation to a different date or office location (within the county in which they reside) when the request is made in advance of the scheduled workshop.

When a claimant fails to report to the workshop (or an appointment in lieu of the workshop) or fails to complete the workshop, and the E&T staff have not excused the claimant for good cause, it will be reported in as a Failure to Participate in Reemployment. The automated 103 process will then print the issues list. A copy of the automated report is included as **attachment "G"**.

The claimant is considered to have completed the workshop when he/she has attended at least 5 hours or approximately 80% of the hours scheduled, whichever is greater. Claimants who attend but do not complete a workshop should be rescheduled for a subsequent workshop.

The E&T staff may exercise reasonable discretion in scheduling claimants for alternative services (in lieu of the workshop) where the alternative service will provide comparable information to the claimant and will better meet the particular needs of the claimant. Alternative services might include individual appointments for claimants with special needs; workshops for professional, technical, or managerial workers; or specifically targeted services by arrangements with the WSA. Claimants should be advised that attendance at an Early Intervention workshop meets the active search for work requirement for the week of the workshop. Claimants should answer "yes" to the active search for work question on the claim voucher and enter the word, "JS Workshop," in the work search contacts fields on the claim certification. Early Intervention appointments do not meet the active search for work requirement.

Reporting Feedback for Profiled Selected Claimants who are not Registered in

Claimants should be registered in, as soon as possible, after filing their claim to allow automated reporting of feedback. However, in some instances Selection and Reemployment Services may occur prior to the claimant being registered. Upon the claimant being registered, activity occurring prior to registration should be recorded appropriately in to ensure accurate record of services.

V. Exemption From Participation in Reemployment Services

Prior Participation in Reemployment Services

Claimants who have received Reemployment Services or comparable services prior to being profiled and selected may be exempted from further participation. If the services were provided outside the DWD-E&T system, (for example, by the employer), then the E&T staff must examine the content and determine that it is equal content and quality to that provided by the E&T staff.

The Selection Notification form includes instructions for the claimant to contact the selecting office, if they feel they have already received these services.

Ineligibility for UI Benefits

Some claimants may draw a week of benefits, but subsequently be declared ineligible for benefits. These claimants may be profiled and selected. In this instance the claimant will be exempted from participation and offered appropriate E&T services outside the Profiling System.

Effective Date:

Ending Date:

Not applicable.

Ownership:

DWD Field Operations

Action:

Managers and supervisors will make all affected staff aware of the procedure described in this memo.

E&T Managers are expected to coordinate with the UI Managers in their respective local offices in implementing these policies.

Attachments:	Amendment to Social Security Act	"A"
	Initial Application Entry Screen	"B"
	Default Assignments	"C"
	Reemployment Service Sites	"D"
	Claimant Call-in Letter	"E"
	Individual Service Plan	"F"
	Format of Automated 103	"G"

GWC/RLW/jkb

Attachment C

**Default Assignment
Claim Holding Office to Reemployment Service Office**

UI Office	#	Reemployment Service Office	#
GARY UI	100	GARY ES	4800
HAMMOND UI	120	HAMMOND ES	5000
LAPORTE UI	130	LAPORTE ES	6800
PORTAGE UI ITINERANT	133	PORTAGE ES	8300
SOUTH BEND UI	200	SOUTH BEND ES	8700
PLYMOUTH UI ITINERANT	201	SOUTH BEND ES	8700
ELKHART UI	210	ELKHART ES	4100
WARSAW UI ITINERANT	211	ELKHART ES	4100
FORT WAYNE UI	300	FORT WAYNE ES	4400
DECATUR UI ITINERANT	301	FORT WAYNE ES	4400
LAFAYETTE UI	400	LAFAYETTE ES	6400
KOKOMO UI	420	KOKOMO ES	6300
WABASH UI ITINERANT	423	KOKOMO ES	6300
LOGANSPOUT UI	430		6392
MUNCIE UI	500	MUNCIE ES	7700
NEW CASTLE UI ITINERANT	502	MUNCIE ES	7700
WINCHESTER UI ITINERANT	503	MUNCIE ES	7700
PORTLAND UI ITINERANT	504	MUNCIE ES	7700
ANDERSON UI	510	ANDERSON ES	3200
CONNERSVILLE UI	520		3700
MARION UI	540	MARION ES	7400
RICHMOND UI	570	RICHMOND ES	8500
TERRE HAUTE UI	600	TERRE HAUTE ES	9000
METRO UI	700	METRO ES	5800
WESTSIDE UI	720	WESTSIDE ES	5600
EASTSIDE UI	730	EASTSIDE ES	5900
SHELBYVILLE UI	770	SHELBYVILLE ES	8600
MARTINSVILLE UI ITINERANT	772		7600
BEDFORD UI	800	BEDFORD ES	3400
LINTON UI ITINERANT	802	LINTON ES	7100
BLOOMINGTON UI	820	BLOOMINGTON ES	3500
COLUMBUS UI	830	COLUMBUS ES	3600
LAWRENCEBURG UI	850	LAWRENCEBURG ES	6900
MADISON UI ITINERANT	852	MADISON ES	7300
NEW ALBANY UI	860	NEW ALBANY ES	7900
EVANSVILLE UI	900	EVANSVILLE ES	4200
TELL CITY UI ITINERANT	903	EVANSVILLE ES	4200
VINCENNES UI	930	VINCENNES ES	9200
JASPER UI ITINERANT	932	JASPER ES	6200

Attachment E

January 12, 2004

Dear

Based on your recent claim for Unemployment Insurance Benefits, you have been selected to participate in a Worker Profiling Program. This is an opportunity for you to receive some valuable Reemployment Services.

In accordance with recently enacted federal legislation, the State of Indiana and the Department of Workforce Development have implemented a selection and referral system. This system reviews an individual for special assistance in securing employment through the WorkOne offices.

As you know, to receive Unemployment Insurance benefits you must be able and available for work and must conduct an active search for employment during each week claimed. Participation in this Reemployment Service is considered part of your active search for employment.

As your first step in this service, we have scheduled you for an orientation session/assessment interview with at on . This meeting should last no longer than one hour. Please report to our reception counter and ask for prior to your appointment time. If you are unable to keep this appointment, please contact our office in advance.

If you are presently enrolled in a training program or feel that you have recently received Reemployment Services, please contact our office IMMEDIATELY. Staff may be contacted by phone at between 8:00 A.M. and 4:30 P.M. Monday through Friday.

Sincerely,

Worker Profiling Programcc:
Claimant UI file